

BEST AVAILABLE COPY

SEARCHED			
Class	Sub.	Date	Exmr.
436	500	8-5-03	D.A.D.
436	501	8-5-03	D.A.D.
436	504	↓	↓
436	505	↓	↓
435	7.5	↓	↓
435	7.9	↓	↓
updated search		2-2-04	D.A.D.
updated search		8-9-05	D.A.D.
updated search		2-17-06	D.A.D.
updated		10-13-06	D.A.D.

INTERFERENCE SEARCHED			
Class	Sub.	Date	Exmr.

SEARCH NOTES (INCLUDING SEARCH STRATEGY)		
	Date	Exmr.
STIC	8-5-03	D.A.D.
IOS	8-5-03	↓
Palm Investor Search	8-5-03	↓
East	8-5-03	↓
STN Investor Search	8-6-03	D.A.D.
Discussed case strategy with primary examiner KENNEDY found trading that trader disadvantages facing a RIA. (8-7-03) D.A.D.		
updated search	2-2-04	D.A.D.
Quality		
• Yvonne Gyra	8-8-03	D.A.D.
Discussed w/ quality personnel and it was concluded to maintain rejection.		
Primary Susan Unger	8-9-03	D.A.D.
updated search	2-17-06	D.A.D.
updated search	10-13-06	D.A.D.

(RIGHT OUTSIDE)

BEST AVAILABLE COPY